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PATENT APPLICATION OF

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ENTITLED

METHOD AND APPARATUS USING A CIRCUIT MODEL  
TO EVALUATE CELL/BATTERY PARAMETERS

208020-8/EE/001

Docket No. C382.12-0111

## METHOD AND APPARATUS USING A CIRCUIT MODEL TO EVALUATE CELL/BATTERY PARAMETERS

This is a Continuation-In-Part of patent application Serial No. 09/940,684 filed August 27, 2001  
5 which is a Divisional of patent application Serial No. 09/388,501 filed September 1, 1999, which issued as U.S. Patent 6,313,607 on November 6, 2001 and also claims priority to U.S. provisional application Serial No. 60/299,876 filed June 21, 2001, the contents of  
10 which are hereby incorporated by reference in their entirety.

### BACKGROUND OF THE INVENTION

"Total storage capacity" (**TSC**), "absolute stored charge" (**ASC**), "state-of-charge" (**SOC**), "absolute  
15 cranking current" (**ACC**), "fully charged cranking current" (**FCCC**) and "state-of-health" (**SOH**) are important performance parameters of an electrochemical cell/battery. These six parameters are assumed herein to have the following definitions:

- 20 • "Total storage capacity" (**TSC**) denotes the total amount of charge that a fully charged battery can supply under specified discharge conditions. **TSC** is usually expressed in ampere-hours or in reserve capacity minutes.
- 25 • "Absolute stored charge" (**ASC**) -- also expressed in ampere-hours or reserve capacity minutes -- denotes the amount of charge that a battery can supply in its current charge state. As a battery is discharged, its **ASC** decreases -- much like the level of liquid in  
30 a fuel tank.

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- "State-of-charge" (**SOC**), or "relative stored charge", is the ratio of a battery's **ASC** to its **TSC** -- generally expressed as a percentage. A battery's **SOC** indicates whether charging is advisable and identifies the point at which charging should be discontinued.
- "Absolute cranking current" (**ACC**) denotes the high-rate discharge current in amperes that a battery can sustain at a specified voltage for a specified time in its present charge state. As a battery discharges, its **ACC** decreases.
- "Fully charged cranking current" (**FCCC**) denotes the value that the **ACC** would assume if the battery were fully charged.
- "State-of-health" (**SOH**) describes a battery's full charge capability, either its **TSC** or its **FCCC**, vis-à-vis its rated specifications. **SOH** identifies the point at which battery replacement is advisable.

Both **ASC** and **TSC** have traditionally been measured by performing timed-discharge tests on batteries that are partially or fully charged, respectively. Because of the time and expense involved in performing complete discharge tests, other techniques for determining **ASC** and **TSC** have been proposed. In U.S. Patent 6,255,801, Chalasani claims to determine battery capacity from observations of the coup de fouet effect. O'Sullivan, in U.S. Patent 6,211,654, discloses a method for predicting battery capacity from the discharge characteristics over a relatively short time period at the beginning of a full discharge.

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Techniques employing time-varying signals have also been proposed. Sharaf, in U.S. Patent **3,808,522**, purportedly determines the ampere-hour capacity of a lead-acid battery from ac measurements of its internal resistance. Yang, in U.S. Patent **5,126,675**, also uses single-frequency internal resistance measurements to predict battery capacity. Muramatsu reports in U.S. Patent **4,678,998** that he can determine both the remaining amp-hour capacity and the remaining service life of a battery from measurements of the magnitude of the ac impedance at two different frequencies. Fang, in U.S. Patent **5,241,275**, teaches a method for determining remaining capacity from complex impedance measured at two or three frequencies in the range from **0.001** to **1.0** Hz. Hampson, et al., in U.K. Patent Application **GB 2,175,700A**, report determining battery capacity from the frequency of the maximum value of capacitive reactance in the "impedance characteristic curve". Yoon et al., in U.S. Patents **6,208,147** and **6,160,382**, claim that a battery's capacity can be found by analyzing the complete impedance spectrum over a wide frequency range. Presumably, any of these techniques, if effective, could also be used to determine **SOH** by comparing the **TSC** thus determined with a rated value.

Champlin, in U.S. Patent **5,140,269**, shows that the percent capacity of a standby battery -- and hence its **SOH** -- can be determined from its ac conductance measured at a single frequency if the ac conductance of a reference, fully charged, identically constructed, new battery is known. This method, although quite

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effective, requires that such ac conductance data be available, *apriori*.

5 "Absolute cranking current" (**ACC**) and "fully charged cranking current" (**FCCC**) have been traditionally measured with timed, high-rate, discharge tests. Such tests have many disadvantages, however. They require heavy and cumbersome equipment, cause dangerous sparking, give imprecise results, and leave the battery in a significantly worse condition than existed before  
10 the test was performed. In response to the need for a better method, Champlin pioneered a testing technique based upon single-frequency ac conductance measurements. Various aspects of this well-accepted methodology have been disclosed in U.S. Patents **3,873,911**, **3,909,708**,  
15 **4,816,768**, **4,825,170**, **4,881,038**, **4,912,416**, **5,572,136**, **5,585,728**, **5,598,098**, and **5,821,756**.

With lead-acid batteries, **SOC** has been traditionally evaluated by observing the battery's open-circuit voltage or the specific gravity of its  
20 electrolyte. However, neither of these quantities provides information about the battery's **TSC**, **ASC**, **ACC**, **FCCC**, or **SOH**. Furthermore, specific gravity measurements are messy and impossible to perform on sealed cells. Moreover, open-circuit voltage cannot be  
25 measured under load conditions and, at any rate, is imprecisely related to **SOC** because both "surface charge" and temperature affect it.

Because of these drawbacks, several techniques for correcting voltage of lead-acid batteries to obtain  
30 **SOC** have been proposed. These include techniques

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described by Christianson et al. in U.S. Patent **3,946,299**, by Reni et al. in U.S. Patent **5,352,968**, and by Hirzel in U.S. Patent **5,381,096**. However, such voltage correction methods are not very accurate. 5 Furthermore, they are of little help with electrochemical systems other than lead-acid in which voltage may bear little relationship to **SOC**.

Due to these and other problems, techniques based upon ac or time-varying signals have been proposed 10 for determining **SOC**. For example, Latner claims to determine **SOC** of NiCd batteries from ac bridge measurements of farad capacitance in U.S. Patent **3,562,634**. U.S. Patent **3,984,762** to Dowgiallo purports to determine **SOC** from the phase angle of the complex 15 impedance at a single frequency. In U.S. Patent **4,743,855**, Randin et al. assert that **SOC** can be determined from the argument (i.e., phase angle) of the difference between complex impedances measured at two different frequencies. Bounaga, in U.S. Patent 20 **5,650,937**, reportedly determines **SOC** from measurements of the imaginary part of the complex impedance at a single frequency. Basell et al. purport to determine **SOC** from the rate of change of impedance with frequency in U.S. Patent **5,717,336**. Ding et al., in U.S. Patent 25 **6,094,033**, broadly assert that **SOC** can be determined from a battery's "impedance response, which can include series and parallel equivalent circuit parameters, i.e., resistance, capacitance, and phase angle, among others". Finally, techniques purporting to determine **SOC** from the 30 transient response to an applied pulsed voltage and/or

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current are disclosed by Andrieu and Poignant in U. S. Patent 5,530,361 and by Simon in French Patent Application FR 2,749,396A. The fact that none of these methods has gained wide acceptance, however, suggests  
5 that they may not be altogether satisfactory methods for determining SOC.

#### SUMMARY OF THE INVENTION

Testing apparatus senses the time-varying electrical response of an electrochemical cell/battery  
10 to time-varying electrical excitation. The cell/battery may, or may not, be in service. Computation circuitry responsive to the time-varying electrical response evaluates elements of a unique circuit model representation of the cell/battery. Performance  
15 parameters and physical parameters are computed from these element values. Computed performance parameters include, but are not limited to, "total storage capacity", "absolute stored charge", "state-of-charge", "absolute cranking current", "fully charged cranking  
20 current", and "state-of-health". Computed physical parameters include, but are not limited to, "exchange current", "maximum exchange current", "charge transfer conductance", "maximum charge transfer conductance", "double layer capacitance", and "maximum double layer  
25 capacitance". Computed parameters are either displayed to the user, employed to initiate an alarm, or used to control a process such as charging the cell/battery.

#### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a block diagram of apparatus for  
30 evaluating performance parameters and physical

FIG. 2 depicts a generic **2n**-element small signal circuit model representation of an electrochemical cell or battery employed in the present invention.

FIG. 4 is a plot of the variation of the three subcircuit time-constants defined in FIG. 3 as charge is removed from the battery.

FIG. 6 is plot of values of capacitances  $C_2$  and  $C_3$  defined in FIG. 3 as charge is removed from the battery.

FIG. 8 is a plot of the "state-of-charge" SOC derived from "charge transfer conductance" G3 of FIG. 5 and "double layer capacitance" C2 of FIG. 6 as charge is removed from the battery.

FIG. 9 is a plot of the "absolute stored charge" ASC determined from "double layer capacitance" C2 of FIG. 6 as charge is removed from the battery.

FIG. 10 is a plot of the "total storage capacity" **TSC** derived from "charge transfer conductance" **G3** of FIG. 5 and "double layer capacitance" **C2** of FIG. 6 as charge is removed from the  
5 battery.

FIG. 11 is a plot of the "absolute cranking current" **ACC** derived from series conductance **G1=1/R1** of FIG. 5 as charge is removed from the battery.

FIG. 12 is a plot of the function used to  
10 correct the "absolute cranking current" **ACC** for "state-of-charge" **SOC** to obtain the "fully charged cranking current" **FCCC** of FIG 13.

FIG. 13 is a plot of the corrected "fully charged cranking current" **FCCC** as charge is removed from  
15 the battery.

FIG. 14 is a diagram of the "commonly accepted" circuit model showing the placement of a "charge transfer resistance" and "double layer capacitance" in parallel with one another.

FIG. 15 is a diagram of the **n=3** circuit model according to the present invention showing the placement of the "charge transfer conductance" and the "double layer capacitance" in two separate **G-C** subcircuits that are actually in series with one  
20 another.  
25

FIG. 16 is a block diagram of apparatus for evaluating performance and physical parameters of an electrochemical cell or battery wherein an external source produces time-varying electrical excitation.

30 DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

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Method and apparatus for quickly and accurately determining performance parameters and physical parameters that does not discharge the battery, does not require the battery to be fully charged, and tests batteries while "on line" would be of great value. The present invention addresses this need. It is based upon teachings disclosed by Champlin in U.S. Patents 6,002,238, 6,037,777, 6,172,483, 6,222,369, 6,262,563, 6,313,607, and U.S. Patent Applications 60/299,876 and 09/940,684, all of which are incorporated herein by reference.

FIG. 1 discloses a block diagram of apparatus 5 for evaluating performance parameters and/or physical parameters according to one embodiment of the present invention. Measuring circuitry 10 electrically couples to cell/battery 20 at positive terminal 15 and negative terminal 25 by means of current-carrying contacts A and B and voltage-sensing contacts C and D. Cell/battery 20 may, or may not, be in service. Under control of microcontroller circuitry 30 via control path 35, measuring circuitry 10 passes periodic time-varying excitation current  $i(t)$  through contacts A and B and senses periodic time-varying response voltage  $v(t)$  across contacts C and D. Amplification and analog to digital conversion circuitry contained within measuring circuitry 10 formulates digital representations of  $i(t)$  and  $v(t)$  samples and communicates them to microcontroller circuitry 30 via data path 40.

By appropriately processing these digital representations, microcontroller circuitry 30 computes

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real and imaginary parts of complex immittance -- either impedance **Z** or admittance **Y** -- at a measuring frequency **f<sub>k</sub>**; where **f<sub>k</sub>** is a discrete frequency contained in the periodic waveforms of **i(t)** and **v(t)**.

5 Microcontroller circuitry **30** commands measuring circuitry **10** to repeat these measurements at each one of **n** discrete measuring frequencies, where **n** is an integer number equal to or greater than **3**. This action defines **2n** experimental quantities: the values of the **n**  
10 real parts and the **n** imaginary parts of complex immittance at each of the **n** measuring frequencies. Microcontroller circuitry **30** then employs algorithms disclosed in U. S. Patents **6,037,777** and **6,222,369** to numerically combine the **2n** experimental quantities to  
15 evaluate the **2n** elements of the circuit model representation of the cell/battery disclosed in FIG. **2**. This unique circuit model comprises a single series **R-L** subcircuit in series with a plurality, **n-1**, of parallel **G-C** subcircuits.

20 Microcontroller circuitry **30** computes one or more performance and/or physical parameters of cell/battery **20** from values of one or more elements of this circuit model representation of FIG. **2**. Additionally, microcontroller circuitry **30** can compare  
25 one or more computed parameters with battery rating information inputted by a user on input device **45** to determine the battery's "state-of-health" **SOH**. Finally, microcontroller circuitry **30** can output appropriate performance or physical parameters to a  
30 user on display **50**, and/or apply one or more computed

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parameters to initiate an alarm 55 or to control a process 60 such as charging of the battery.

FIG. 3 discloses the six-element circuit model of a fully charged 12V battery as determined with the apparatus of FIG. 1 using  $n=3$ . The experimental battery was a VRLA (valve-regulated lead-acid) automotive battery of spiral-grid construction that was rated 700 CCA, 95 minutes reserve capacity, and 50 Ah capacity @ 20 hour rate. The three measurement frequencies were 5, 50, and 500 Hz.

One notes from FIG. 3 that the  $n=3$  circuit model comprises three two-element subcircuits in series:

- A series R1-L1 subcircuit.
- A parallel G2-C2 subcircuit.
- A parallel G3-C3 subcircuit.

One notes further that the three subcircuits are characterized by three very different time constants. The shortest time constant,  $\tau_1 = L1/R1 = 215.4\mu S$ , belongs to the series R1-L1 subcircuit. The next longest time constant,  $\tau_2 = C2/G2 = 3.33mS$ , belongs to the parallel G2-C2 subcircuit; and the longest time-constant,  $\tau_3 = C3/G3 = 51.3mS$ , belongs to the parallel G3-C3 subcircuit. Accordingly, the three subcircuits represent quite different physical processes that can be differentiated from one another by their time constants.

By analyzing similar three-frequency measurements on many lead-acid batteries, a consistent physical interpretation of the circuit model of FIG. 3

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has emerged. The theoretical basis for this interpretation can be found in the paper by Champlin and Bertness, "Results of Discrete Frequency Immittance Spectroscopy (DFIS) Measurements of Lead Acid Batteries", Proceedings of the 23<sup>rd</sup> International Telecommunications Energy Conference (INTELEC), Edinburgh Scotland, paper **53**, (October 2001).

According to this interpretation, series resistance **R1** represents the current-induced drop in electric potential across the metal connectors, plates, separators, active material, and electrolyte - with the majority of **R1** associated with the active material and electrolyte. Accordingly, conductance **G1=1/R1** correlates directly with high-rate load-test current such as cold-cranking amps (**CCA**). Series inductance **L1** describes energy storage in the battery's surrounding magnetic field, with no electrochemical component to **L1** yet observed.

Both the parallel **G2-C2** subcircuit and the parallel **G3-C3** subcircuit are believed to be linearized representations of nonlinear electrochemical processes occurring at the negative electrode surfaces. These two subcircuits together describe the response of negative electrode surfaces to changes in an externally applied electrochemical overpotential.

Electrochemical overpotential at an electrode surface consists of two parts: an *electrical* overpotential and a *chemical* overpotential. The *electrical* part arises from electrical forces on charged particles, and the chemical part arises from

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concentration differences. The faster **G2-C2** subcircuit responds to the *electrical* part of an electrochemical overpotential and the slower **G3-C3** subcircuit responds to the *chemical* part. These two  
5 subcircuits add in series in the circuit model of FIG. 3 because the *electrical* overpotential and the *chemical* overpotential add together to form the *electrochemical* overpotential. Voltages (potentials) add in series.

FIGS. 4, 5, and 6 display the results of  
10 three-frequency immittance measurements performed on the battery whose model is depicted in FIG. 3 during a discharge sequence. The battery was initially charged, allowed to reach equilibrium, and was then repeatedly discharged at an approximate 8-hr rate in increments of  
15 approximately 3 ampere-hours. The battery was permitted to rest for 2.5 hours after each discharge period before the three-frequency immittance measurements were taken.

FIG. 4 is a plot of the variation of the three  
20 time constants defined in FIG. 3 as charge is removed from the battery. One notes that the time constants remain widely separated as charge is removed, and that the longest of the three,  $\tau_3$ , is nearly independent of state-of-charge.

FIG. 5 discloses the variation of the three  
25 conductances, **G1**=1/R1, **G2**, and **G3** as charge is removed from the battery. Of particular interest is the fact that **G3** becomes small near full charge as well as near full discharge. This remarkable behavior  
30 sets **G3** apart from **G1** and **G2**, both of which reach

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*maxima* at full charge. Such unusual behavior can be explained by assuming that **G3** describes *faradaic* processes occurring at the negative electrode surfaces and considering the kinetics of such processes.

5        The Butler-Volmer equation for faradaic processes at the negative electrode surfaces can be written:

$$i = i_f - i_b = i_0 \left( e^{\alpha n f V_3} - e^{-\{1-\alpha\} n f V_3} \right) \quad (1)$$

10    In equation (1), *i* is the current in the external circuit (assumed positive in the "charge" direction) while *i<sub>f</sub>* and *i<sub>b</sub>* are "forward" and "backward" ionic "reaction" currents, respectively, in the electrolyte. Physical parameter *i<sub>0</sub>* is the "exchange current"; *α* is  
 15    a "charge transfer coefficient" (less than unity); *n* is the number of electrons transferred per molecule reactant (two); and *f* = (*F*/*RT*), with *F* being Faraday's constant, *R* the universal gas constant, and *T* the absolute (Kelvin) temperature. Voltage *V<sub>3</sub>* in equation  
 20    (1) is believed to be the *chemical* component of the *electrochemical overpotential* (positive for "charge" and negative for "discharge") at the negative electrode surfaces.

      The *chemical overpotential*, *V<sub>3</sub>*, drives the  
 25    two ionic reaction currents. Under charging conditions (*V<sub>3</sub>* > 0), the forward ionic current, *i<sub>f</sub>* = *i<sub>0</sub>* exp(*αnfV<sub>3</sub>*), is larger than *i<sub>0</sub>*; while the backward ionic current,

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$i_b = i_0 \exp(-\{1-\alpha\}nFV_3)$  is less than  $i_0$ . Accordingly, their difference yields a positive ("charging") current in the external circuit. Under discharging conditions ( $V_3 < 0$ ), the opposite is true. In equilibrium  
 5 ( $V_3 = 0$ ), both forward and backward ionic currents are equal to the exchange current  $i_0$ , and the current in the external circuit is zero. Note that even with  $i = 0$ , there are still two equal ionic "exchange currents" flowing in opposite directions on the  
 10 electrolyte side of the electrode/electrolyte interface.

For small variations in  $V_3$ , the equilibrium small-signal faradaic conductance, or "charge transfer conductance", follows by differentiating equation (1)  
 15 with respect to  $(N_C V_3)$ , where  $N_C$  is the number of battery cells in series, and evaluating this derivative at  $V_3 = 0$ . The result is

$$G_3 = \left. \frac{di}{d(N_C V_3)} \right|_{V_3=0} = \frac{nfi_0}{N_C} = (nF/N_C RT) \cdot i_0 \quad (2)$$

20

One sees that at any given temperature, the "charge transfer conductance"  $G_3$  is proportional to the "exchange current"  $i_0$ . The "charge transfer conductance" and electrode "exchange current" are both  
 25 physical parameters of great importance.

Equation (2) can be inverted to yield the "exchange current"  $i_0$  in terms of "charge transfer

conductance"  $G_3$ . For a 12V (6-cell) battery at room temperature ( $T = 293^\circ \text{K}$ ), equation (2) yields

$$i_0 = (N_C RT / nF) \cdot G_3 = (.07574) \cdot G_3 \quad \text{amperes} \quad (3)$$

5

Fig. 7 displays  $i_0$  calculated from equation (3) using the experimental  $G_3$  data of Fig. 5. One sees that  $i_0$  approaches zero at both full charge and full discharge and reaches a maximum value of  $i_{0\text{max}} = 27.5$  amperes at approximately 50% state-of-charge.

The remarkable variation of  $G_3$  disclosed in FIG. 5 can now be explained. As the battery approaches full charge, the forward, or "charge", component of reaction current goes to zero because the number of reaction sites available for the charge reaction ( $\text{PbSO}_4$  sites) approaches zero. Since forward and backward ionic currents are equal in equilibrium, the equilibrium backward current likewise goes to zero. Similarly, as the battery approaches full discharge, the backward, or "discharge", component of reaction current goes to zero because the number of sites available for the discharge reaction ( $\text{Pb}$  sites) approaches zero. Again, since forward and backward ionic currents are equal in equilibrium, the equilibrium forward current likewise goes to zero. Accordingly, the "exchange current"  $i_0$  goes to zero in both cases. From equation (2), the "charge transfer conductance"  $G_3$  -- which is simply proportional to  $i_0$

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-- likewise approaches zero at full charge and at full discharge, reaching maximum at 50% state-of-charge.

By reasoning in accordance with this mechanism, one can write "charge transfer conductance"

5 **G3** as -

$$\mathbf{G3} = 4 \cdot \mathbf{G3_{max}} \cdot (\mathbf{N_{Pb}^-} / \mathbf{N^-}) \cdot (\mathbf{N_{PbSO_4}^-} / \mathbf{N^-}) \quad (4)$$

where  $\mathbf{N^-} = \mathbf{N_{Pb}^-} + \mathbf{N_{PbSO_4}^-}$  is the total number of negative-  
10 electrode reaction sites,  $\mathbf{N_{Pb}^-}$  is the number of such sites occupied by **Pb** molecules, and  $\mathbf{N_{PbSO_4}^-}$  is the number occupied by **PbSO<sub>4</sub>** molecules. The factor **4** in equation (4) arises because **G3** equals **G3<sub>max</sub>** when  $\mathbf{N_{Pb}^-} = \mathbf{N_{PbSO_4}^-} = \mathbf{N^-} / 2$ .

15 I now define the performance parameter "state-of-charge" **SOC** as the *fraction* of negative-electrode reaction sites occupied by **Pb** molecules. That is,

$$20 \quad \mathbf{SOC} \equiv (\mathbf{N_{Pb}^-} / \mathbf{N^-}) = 1 - (\mathbf{N_{PbSO_4}^-} / \mathbf{N^-}) \quad (5)$$

Equation (4) can therefore be written

$$\mathbf{G3} = 4 \cdot \mathbf{G3_{max}} \cdot (\mathbf{SOC}) \cdot (1 - \mathbf{SOC}) \quad (6)$$

25

which obviously approaches zero when **SOC** approaches unity as well as zero.

FIG. 6 discloses the variation of capacitance **C2** and capacitance **C3** as charge is removed from the battery. Capacitance **C3** is seen to mimic the behavior of "charge transfer conductance" **G3** over the complete  
5 range of Ah removed. This variation can be understood by noting that  $C3 = \tau_3 \cdot G3$ , and that  $\tau_3$  varies little as charge is removed (see FIG. 4). Time constant  $\tau_3$  is believed closely related to the *reaction time* of *faradaic* processes at the negative electrode surfaces  
10 (See U.S. Patents 6,137,269 and 6,294,697).

Capacitance **C2** in FIG. 6 is observed to vary in an entirely different manner from **C3** as charge is removed. Instead of increasing and then decreasing, **C2** assumes its largest value with zero amp-hours  
15 removed and simply decreases monotonically as charge is removed from the battery. Such behavior suggests that the **G2-C2** subcircuit is responsive to the *nonfaradaic* or *electrical* component of an *electrochemical overpotential* at the negative-electrode surfaces. In  
20 this interpretation, capacitance **C2** represents the negative-electrode's *ionic "double layer capacitance"* - a physical parameter of considerable interest.

An ionic double layer can only form on metallic **Pb** molecules. It cannot form on  
25 nonconducting **PbSO<sub>4</sub>** molecules. It follows that **C2** is proportional to  $N_{Pb}^-$ , the total number of reaction sites that are occupied by **Pb** molecules. Accordingly, "double layer capacitance" **C2** can be written

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$$C2 = C2_{100} \cdot (N_{Pb}^- / N^-) = C2_{100} \cdot SOC \quad (7)$$

where  $C2_{100}$  is "maximum double layer capacitance" -- the value that would occur at 100% state-of-charge.

5 Equation (7) indicates that physical parameter  $C2_{100}$  relates to battery size and condition by being proportional to  $N^-$ , the total number of reaction sites available for charge/discharge reactions. Similarly, equation (4) indicates that  
10 physical parameter  $G3_{max}$  relates to size and condition by being proportional to  $(N^-)^2$ . Accordingly, I define the following useful quantity:

$$\xi \equiv \frac{(C2_{100})^2}{4 \cdot G3_{max}} \quad (8)$$

15 which, for any particular class of cell/battery, is independent of battery size, condition and "state-of-charge". I have found that  $\xi \approx 1.368 \cdot 10^{-2}$  for batteries of the type under consideration herein.

20 Equations (6), (7), and (8) can be combined algebraically to provide separate expressions for SOC,  $C2_{100}$ , and  $G3_{max}$  in terms of  $\xi$ , C2, and G3. The results are-

$$25 \quad SOC = \frac{1}{1 + \xi \cdot (G3 / C2^2)} \quad (9)$$

$$C2_{100} = C2 + \xi \cdot (G3/C2) \quad (10)$$

and

$$G3_{\max} = \frac{\{C2 + \xi \cdot (G3/C2)\}^2}{4 \cdot \xi} \quad (11)$$

5 By combining equation (3) and equation (11), "maximum exchange current"  $i_{0\max}$  can be written as -

$$i_{0\max} = \frac{\{N_C RT/nF\} \cdot \{C2 + \xi \cdot (G3/C2)\}^2}{4 \cdot \xi} \quad (12)$$

10 This physical parameter is of considerable theoretical interest since it describes the level of maximum chemical activity at the electrode/electrolyte interface.

FIG. 8 displays performance parameter SOC  
15 (in percent) calculated from equation (9) by using the experimental G3 and C2 data disclosed in FIGS. 5 and 6. Note that combining G3 and C2 data to determine SOC resolves the multi-value ambiguity of equation (6). The "state-of-charge" determined in this manner  
20 varies from a maximum value of 93.6%, with zero ampere-hours removed from the battery, to a minimum value of 4.1% with 45.2 ampere-hours removed. The observed, nearly linear, variation of SOC with ampere-hours removed provides excellent corroboration of the theory.

25 The performance parameters "absolute stored charge" ASC and "total storage capacity" TSC are

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proportional to  $C_2$  and  $C_{2100}$ , respectively. Accordingly, I write -

$$ASC = K_{cs} \cdot C_2 \quad (13)$$

5

and, from equation (10) -

$$TSC = K_{cs} \cdot \{C_2 + \xi \cdot (G_3/C_2)\} \quad (14)$$

10 where  $K_{cs}$  is a "charge storage" constant that depends upon the battery type, and upon the units of charge storage (i.e., ampere-hours @ an 8 hr rate, ampere-hours @ a 20 hr rate, reserve capacity minutes, coulombs, etc.) I find that for batteries of the type  
15 under consideration herein, and with **ASC** and **TSC** expressed in ampere-hours @ an 8 hr rate,  $K_{cs} \cong 11.3$ .

Taking the ratio of equation (13) to equation (14) shows that -

$$20 \quad \frac{ASC}{TSC} = \frac{C_2}{C_2 + \xi \cdot (G_3/C_2)} = \frac{1}{1 + \xi \cdot (G_3/C_2^2)} = SOC \quad (15)$$

Thus, the performance parameter "state-of-charge" **SOC**, that is defined physically in terms of numbers of reaction sites by equation (5), is actually the ratio  
25 of the two performance parameters "absolute stored charge" **ASC** and "total storage capacity" **TSC**.

FIG. 9 displays performance parameter "absolute stored charge" **ASC** (in ampere-hours)

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calculated from equation (13) using the experimental  
C2 data disclosed in FIG. 6. The "absolute stored  
charge" determined in this manner varies from a maximum  
value of 47.2 ampere-hours, with zero ampere-hours  
5 removed from the battery, to a minimum value of 1.9  
ampere-hours with 45.2 ampere-hours removed. Note that  
"absolute stored charge" ASC decreases as the battery  
discharges - much like the level of liquid in a fuel  
tank. Accordingly, ASC would comprise an excellent  
10 "electric fuel gauge" readout.

FIG. 10 displays the performance parameter  
"total storage capacity" TSC (in ampere-hours)  
calculated from equation (14) using the experimental  
G3 and C2 data disclosed in FIGS. 5 and 6. Note that  
15 the observed TSC varies very little as the battery is  
discharged. Ideally, TSC would not vary at all. The  
small variations observed are believed caused by minor  
inaccuracies in the  $n=3$  model. Performing immittance  
measurements at four or five frequencies and then  
20 employing an eight- or ten-element circuit model in the  
analysis greatly reduces such variations.

Performance parameter "absolute cranking  
current" ACC has been found experimentally to be  
proportional to  $G1=1/R1$ . Thus -

25

$$ACC = K_{cc} \cdot G1 \quad (16)$$

where  $K_{cc}$  is a "cranking current" coefficient that  
depends upon the type of battery and the definition of  
30 "cranking current". For batteries of the type under

consideration, and with "cranking current" defined to be SAE "cold cranking amperes",  $K_{cc} \cong 2.7$ . FIG. 11 displays performance parameter **ACC** determined from equation (16) by using the **G1** data of FIG. 5. One  
5 sees that **ACC** decreases significantly as charge is removed from the battery.

For batteries that are less than fully charged, the performance parameter "fully charged cranking current" **FCCC** can be determined by correcting  
10 the **ACC** according to -

$$\mathbf{FCCC} = \mathbf{ACC} \cdot \mathbf{F(SOC)} \quad (17)$$

where **F(SOC)** is a "correction factor" that depends  
15 upon "state-of-charge". FIG. 12 discloses an empirically determined **F(SOC)** for correcting the **ACC** of batteries of the type under consideration. This function can be expressed mathematically as -

$$20 \quad \mathbf{F(SOC)} = \frac{1}{1 - 0.5 \cdot (\mathbf{SOC} - 1) - 1.0 \cdot (\mathbf{SOC} - 1)^2 + 0.4 \cdot (\mathbf{SOC} - 1)^3} \quad (18)$$

FIG. 13 displays performance parameter **FCCC** obtained by correcting the data of FIG. 11 according to equation (17) using the correction factor defined by  
25 equation (18) (FIG. 12). One sees that the corrected **FCCC** varies by only  $\pm 2.7\%$  from 695 amperes over the entire range of discharge down to **SOC = 20%**.

One determines the performance parameter "state-of-health" **SOH** by either of two methods. The first method is to compare the computed "total storage capacity" **TSC** with an appropriate user-inputted capacity rating such as the battery's rated "ampere-hour capacity" or rated "reserve capacity" in minutes. The second method is to compare the computed "fully charged cranking current" **FCCC** with an appropriate user-inputted cranking rating such as the battery's rated "cold cranking amperes" (**CCA**). In either case, the battery is assumed to have "failed" the **SOH** test if the calculated parameter value is less than a predetermined fraction, say **75%**, of the rated parameter value. Either **SOH** method, or both methods, may be employed -- depending upon the type of service that the battery is expected to experience.

This completes the disclosure of my invention. FIGS. **14** and **15**, however, will serve to place the innovative nature of my invention in perspective. FIG. **14** illustrates the "commonly accepted" equivalent circuit model of a cell/battery at the present time. (See, e.g., U.S. Patent **6,167,349** to Alvarez. See also E. Karden, et al., "A method for measurement and interpretation of impedance spectra for industrial batteries", J Power Sources **85** (2000), pp. **72 - 78**.) The "commonly accepted" model, also known as the "Randles equivalent circuit", places a "charge transfer resistance" and a "double layer capacitance" in parallel with one another. In my opinion, this model is fundamentally wrong and cannot possibly lead

to correct evaluation of any of the performance parameters or physical parameters evaluated herein.

My measurements and analysis have shown that the "charge transfer conductance" (the reciprocal of  
5 "charge transfer resistance") and the "double layer capacitance" are elements of two separate **G-C** subcircuits that are actually in series with one another in the correct circuit model (see FIG. 15). Furthermore, the "double layer capacitance" of the  
10 correct model varies directly with the number of reaction sites available for the discharge reaction (equation (7)); while the "charge transfer conductance" of the correct model varies directly with both the number of sites available for the discharge reaction  
15 and also the number available for the charge reaction (equation (4)). These important new discoveries set my work totally apart from all of the prior art.

To summarize, I have herein disclosed new methods and apparatus for evaluating the following six  
20 performance parameters:

1. "Absolute stored charge" **ASC** (equation (13)).
2. "Total storage capacity" **TSC** (equation (14)).
3. "State-of-charge" **SOC** = **ASC/TSC** (equation (9)).
4. "Absolute cranking current" **ACC** (equation  
25 **(16)**).
5. "Fully Charged Cranking Current" **FCCC** (equation (17)).
6. "State-Of-Health" **SOH**.

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Furthermore, in the course of this disclosure I have also revealed new methods and apparatus for evaluating the following six important physical parameters:

1. "Exchange current"  $i_0$  (equation (3)).
- 5        2. "Maximum exchange current"  $i_{0\max}$  (equation (12)).
3. "Charge transfer conductance"  $G_3$ .
4. "Maximum charge transfer conductance"  $G_{3\max}$  (equation (11)).
- 10       5. "Double layer capacitance"  $C_2$ .
6. "Maximum double layer capacitance"  $C_{2100}$  (equation (10)).

My invention, however, is not limited to evaluating only these twelve parameters.

15        Although my disclosure has referred to particular apparatus and algorithms previously disclosed in U.S. Patents **6,002,238**, **6,037,777**, **6,172,483**, **6,222,369**, and **6,262,563**, other methods will be apparent to those skilled in the art. For example, one could  
20        evaluate elements of the correct circuit model by using pulsed or stepped excitation such as that described in U.S. Patent **6,118,275** to Yoon or in U.S. Patent **6,167,349** to Alvarez; or by using random or pseudo-random excitation such as that described in PCT  
25        Application **WO 99/18448** to Scott. One could also employ bridges, frequency response analyzers, or other types of ac instrumentation to measure complex admittance or complex impedance at multiple frequencies. The range of measurement frequencies is unrestricted and could

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include frequencies in the millihertz and microhertz region ( $f < 1$ ) as well as frequencies in the range of hertz ( $f > 1$ ).

The embodiment disclosed in FIG. 1 utilizes time-varying electrical excitation  $i(t)$  generated internally to apparatus 5 by internal measuring circuitry 10. Alternatively however, the requisite time-varying electrical excitation could be developed by an external source 65 as disclosed in FIG. 16. Such an external source could simply comprise normal "noise" currents flowing through a cell/battery during service, such as taught in PCT Application WO 93/22666 to Robinson. It could also comprise "ripple" signals arising from an unfiltered battery charger during bench-  
charging of the cell/battery or charging by an alternator in a vehicle. Although, time-varying current  $i(t)$  has been presented as an electrical excitation and time-varying voltage  $v(t)$  as an electrical response, the roles of  $i(t)$  and  $v(t)$  could be reversed. Time-varying voltage  $v(t)$  could be the electrical excitation and time-varying current  $i(t)$  the electrical response. All such modifications and variations are included in my invention.

It is well known that elements of any circuit  
25 model can be readily subdivided and rearranged to  
obtain a derivative circuit that appears to be quite  
different, but is in effect electrically equivalent to  
the original circuit. My invention includes all such  
derivative circuits that are electrically equivalent to  
30 the models of FIG. 2 and/or FIG. 3. One could use a

circuit model containing, e.g., eight or ten elements rather than the six elements treated herein. This straightforward modification is likewise included in my invention.

5                Instead of the algorithms disclosed in U.S. Patents **6,037,777** and **6,222,369** to evaluate elements of the circuit model, one could simply employ a conventional "complex least-squares curve fitting" procedure. If accuracy is not essential, one could  
10 even take advantage of the fact that the time constants are widely separated from one another and simply assume that the subcircuits are not coupled. Thus, with some batteries, it may be possible to obtain a reasonably accurate circuit model from a very simple computational  
15 analysis of measured time-varying electrical response.

              The invention is not limited to the particular circuitry implementations disclosed herein. Measuring circuitry, electrical excitation circuitry, electrical response sensing circuitry, computational  
20 circuitry, etc., can be implemented in hardware, software, or combinations thereof. Such circuitry can share common elements or be implemented with common components such as a common microprocessor, microcontroller, or personal computer. Workers skilled  
25 in the art will recognize that these and other variations may be made in form and detail without departing from the true spirit and scope of my invention.

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